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| <p><b>Commonwealth of Pennsylvania</b></p>  <p><b>Pennsylvania Board of Probation and Parole</b></p> | <p><b>Volume III</b><br/><b>Chapter 4</b></p> <p><b>Procedure</b><br/><b>4.01.19</b></p> | <p><b>Date Revised:</b><br/><b>Replaces 4.18</b><br/><b>08/01/04</b><br/><b>02/01/06</b><br/><b>4.01.19 01/14/08,</b><br/><b>6/14/12, 12/28/2012,</b><br/><b>9/1/2015</b><br/><b>Bulletin 01, 10/3/12</b></p> |
| <p><b>Chapter Title</b><br/><b>SUPERVISION, REENTRY</b></p>   | <p><b>Date Issued:</b><br/><b>12/21/16</b></p>   |   |
| <p><b>Subject</b><br/><b>SUPERVISION</b><br/><b>SUPERVISORY OVERSIGHT</b></p>   | <p><b>Effective Date:</b><br/><b>01/01/17</b><br/><b>PUBLIC</b></p>                      |   |

**I. AUTHORITY**

The chairman of the board is granted the authority to “direct the operations of the board and fulfill the functions established by the act... including organizing, staffing, controlling, directing, and administering the work of the staff.” 61 Pa.C.S. § 6112 (a)(1) & (a)(4).

**II. PURPOSE**

This procedure explains methods used by parole supervisors, directors and managers to ensure proper oversight of work performed by parole supervision staff.

**III. APPLICABILITY**

This procedure is applicable to all board staff.

**IV. DEFINITIONS**

All definitions are located in Procedure 4.01.01.

**V. POLICY**

The supervisor shall conduct case reviews as described in this procedure. Additionally, board staff shall conduct annual audits of each district office/sub-office for quality assurance, adherence to board policies and procedures.

**VI. PROCEDURE**

**A. Supervisory Oversight**

The parole supervisor, when faced with the absence of a parole agent, must arrange for coverage of the agent’s workload with particular attention to hearings and face-to-face offender contacts.

When it is determined that supervision contact requirements cannot be met due to staff shortages, the district director must present a proposed plan to the

regional director for dealing with these issues and the regional director must review this plan for consideration with the director of field probation and parole supervision.

#### 1. Supervisor and Parole Agent Conferences

A conference shall occur when an offender's situation demands immediate attention to assist in resolution of an issue(s). These discussions shall include, but are not limited to, the following issues:

- a. Offender compliance with supervision.
- b. The agent's efforts to address offenders' criminogenic needs.
- c. Minimum contact compliance.
- d. Review the automated Record of Interview (PBPP-259) for adequate record keeping and legibility. Reference Procedure 4.01.04 Case Records Content.
- e. Reports and investigations that are overdue.
- f. Guidance and instruction regarding offender issues.
- g. Review work schedule.
- h. Cases in detention and scheduled hearing preparations.
- i. Performance issues and training needs.
- j. Other urgent matters.

#### 2. Supervisor Case Reviews

- a. Organizational units, as identified by the appropriate regional director, engaged primarily in the supervision of newly released offenders whom predominantly reside in community corrections centers or other transitional housing are required to review at least 10% (ten percent) of the cases identified in the monthly 90-day Initial Release/Acceptance Case Review. If the monthly report reflects twelve (12) or less cases, all of the cases will be reviewed by the organizational unit.

##### b. Case Reviews

The supervisor will provide the agent with a copy of the monthly Case Review (PBPP-360) identifying the cases that are to be reviewed. The parole supervisor will schedule a meeting(s) with the parole agent to conduct the reviews. Case deficiencies are recorded by the parole supervisor on the Case Review (PBPP-360). For the ISR review, agents shall correct identified discrepancies within ten (10) business days. For the 90-day Initial release/acceptance case review, agents shall correct

identified discrepancies within thirty (30) calendar days. Parole agents are required to email their supervisor when all outstanding tasks are completed and data discrepancies are corrected.

The parole supervisor will hold a follow-up review to ensure that the noted discrepancies are appropriately addressed. The parole supervisor must also retain a copy of the completed Case Review (PBPP-360) until the next unit audit.

The completed Case Review (PBPP-360) are maintained in the field offender case folder (FOCF).

- 1) The initial supervision review (ISR) must be completed within the first 45 calendar days of supervision. If the initial field visit and/or ISR (PBPP-22R) is beyond the time limits noted in Procedure 4.01.03 Initial Supervision Requirements, the parole supervisor will make note of this discrepancy in the Supervision Plan/Progress and Conduct Report (PBPP-22 application) and discuss with the parole agent.

The ISR must be completed by the initially assigned unit/agent before the case is transferred to a subsequent unit.

Items reviewed and verified during the initial supervision review include the following:

- a) Accreditation order of the FOCF.
- b) Board-imposed special conditions (PBPP-11).
- c) Special probation/parole acceptance forms (PBPP-234).
- d) Conditions governing special probation/parole (PBPP-235).
- e) Mental health, drug & alcohol and/or sex offender evaluation, if applicable. If so, confirm the issuance of an instruction (PBPP-348I) or special condition (PBPP-336).
- f) Mental health, drug & alcohol, sex offender, domestic violence and/or cognitive behavior treatment, if applicable. If so, confirm the issuance of an instruction (PBPP-348I) or special condition (PBPP-336).
- g) Financial obligations.
- h) Treatment tracking entries.
- i) Complete supervision plan (PBPP-22) including signatures.
- j) Completion date of the latest LSI-R.

- k) Supervision grade in accordance with LSI-R score or Procedure 4.01.06 Levels of Supervision.
  - l) Verify fingerprints taken on those cases without a valid PA SID number.
  - m) Completed Authorization for Use or Disclosure of Personal Information (PBPP-283A).
  - n) ASCRA Group Referral and/or PREA letter, if applicable.
- 2) For the 90-day initial release/acceptance case review, the parole supervisor will retrieve the previously completed ISR review form from the FOCF to complete this review. The parole supervisor and parole agent will use the FOCF and completed Records of Interview (PBPP-259) to review the case. The parole supervisor will ensure that any previously noted ISR corrections have been completed.

Items reviewed and verified during the 90-day initial release/acceptance case review include the following:

- a) The electronic Record of Interview (PBPP-259) is being maintained.
- b) Number of home visits, office visits, collateral contacts and urines.
- c) Compliance with board-imposed special conditions.
- d) Mental health, drug & alcohol and/or sex offender evaluation, if applicable. If so, confirm status.
- e) Mental health, drug & alcohol, sex offender, domestic violence and/or cognitive behavior treatment, if applicable. If so, confirm completion or active participation.
- f) Status of financial obligations (Act 35 & 97)
  - i) Supervision fees (Act 35);
  - ii) Urinalysis fees (Act 97);
  - iii) Court-ordered fines, costs and restitution;
  - iv) Other financial obligations.
- g) Sanction compliance.
- h) If in detention status, ensure completion of the Unconvicted Violator Report (PBPP-81C) and hearing status.
- i) Grade of supervision.

- j) If the offender is unemployed and able to work (EMP 3), refer the offender to the ASCRA for employment service referral.

### 3. Supervision Plan/Report (PBPP-22)

During the first week of the month, the parole supervisor generates a report for each agent to identify which PBPP-22s are due that month. The parole supervisor is responsible to review every Supervision Plan/Report (PBPP-22) and corresponding automated Record of Interview (PBPP-259) for completion and accuracy. The parole supervisor will acknowledge the completion and accuracy of each Supervision Plan/Report (PBPP-22) by signing and dating the form. Any identified reports not submitted are to be addressed by the parole supervisor to determine appropriate action.

### 4. Running Record Chronology

The Record of Interview (PBPP-259) is the case history documented by parole supervision staff during the course of supervision. When records are reviewed by a district director/designee, regional director or the director of field probation and parole supervision, the director will enter a case note to record the review date and insert comments regarding any case direction provided or instructions issued.

The reviewer issuing case direction or instructions must also email the same directions/instructions to the assigned parole supervision staff and provide a time frame for completion.

### 5. Case Summary (PBPP-23)

Upon the request of the director of field probation and parole supervision, the appropriate regional director will request the district director/designee to prepare and submit a Case Summary (PBPP-23). The report is reviewed by the regional director and forwarded to the director of field probation and parole supervision.

### 6. Field Visits by Parole Supervisor (excluding offender transports and arrests)

- a. Parole supervisors must accompany the parole agents they supervise into the field according to the following schedule:
  - 1) On a quarterly basis during a parole agent's probationary period.
  - 2) Semi-annually, for the first three years for a parole agent II.
  - 3) Annually thereafter.
- b. During the field visit with the parole agent, the parole supervisor should:
  - 1) Accompany the parole agent while making offender home visits.

- 2) Observe the parole agent's use of evidence-based practice techniques.
- 3) Observe the parole agent's offender contact style, noting strengths and areas for improvement.
- 4) Assess the parole agent's familiarity with the community in which they are assigned.
- 5) Make collateral contacts with related county officials, county probation offices, treatment providers, CCC/CCF staff and others that the agent routinely has contact with during performance of their duties.
- 6) Assess the parole agent's investigative techniques.

#### 7. Review of Daily Supervision Report (PBPP-145)

The parole supervisor will review the reports to ensure:

- a. That the Daily Supervision Report (PBPP-145) submitted by the parole agent is properly completed.
- b. That the parole agent has accounted for forty (40) cumulative hours of work, leave or training each week and within the agent's movements section, that the parole agent has accounted for all of their work activities and the time frames required to complete such activities if not attributable to a parole number.
- c. Prior supervisory approval is required to exceed 40 hours per work week. If approval is given, overtime worked shall be documented in the same manner as the initial 40 hour work week.
- d. That the Daily Supervision Reports (PBPP-145) submitted are reconciled with the Record of Interview (PBPP-259) application to ensure that the contacts listed are entered in the running record chronology.

When there are discrepancies discovered in the PBPP-145 / PBPP-259 comparison, the parole supervisor shall issue written instructions via email to the assigned parole agent describing discrepancies found and time frame for completion. If not completed in the designated time frame, the parole supervisor shall notify the district director/designee.

#### 8. Unit Meetings

Parole supervisors shall conduct a monthly unit meeting with their assigned staff.

- a. Discussion items will include but are not limited to procedures, bulletins, directives, memos and forms released since the last unit meeting.

- b. Document those in attendance at each unit meeting through the completion of a Training Input and Documentation (PBPP-362). The subject line shall include a list of the procedures, forms, directive, memos, etc. reviewed/discussed.

When applicable, the parole supervisor will summarize any issues, concerns and suggestions made by parole supervision staff and attach this information to the completed PBPP-362.

The supervisor is required to follow-up with staff who failed to attend the unit meeting and document this meeting by updating the original Training Input and Documentation (PBPP-362).

- c. The completed form is scanned and emailed to the district director/designee who will maintain a hard copy or an electronic file.
- d. District director/designee will confirm that all supervision staff and when applicable, clerical support staff attended the unit meeting. The district director/designee will document why certain staff were excluded.
- e. The regional director will audit the meeting records quarterly and provide written documentation to the appropriate director outlining findings within five days of audit.

#### 9. District Meetings

District directors/designees shall conduct a district/office meeting following a statewide Office of Probation and Parole Supervision (OPPS) meeting. The district meeting will replace the required monthly supervisor unit meetings.

- a. Discussion items shall include a review of the OPPS agenda and any other topics discussed during OPPS. Distribute pertinent handouts to parole supervision staff.
- b. Document those in attendance through the completion of a Training Input and Documentation (PBPP-362).

When applicable, the district director/designee will summarize any issues, concerns and suggestions made by parole supervision staff and attach this information to the completed PBPP-362.

- c. Explain why certain staff were excused; and,
- d. Follow up with any staff that were excused and review all information that was originally presented and document the review.
- e. Provide completed Training Input and Documentation (PBPP-362) to the regional director.

#### 10. Supervision Unit Audit Procedures

The Bureau of Standards and Accreditation is responsible to audit each supervision unit.

- a. The parole auditor will conduct the unit audit as close to the anniversary date of the previous audit as possible. Unless approved by the director of standards and accreditation, all units at a location will be audited simultaneously. Following the audit, the parole auditor will conduct an exit interview with the parole supervisor. A supervisor or management employee from standards and accreditation will conduct a debrief with the deputy district director/district director following the audit.
- b. Within ten (10) business days, following the audit, the parole auditor, will forward a report with a memo summarizing the audit findings and completed form PBPP 135F – Parole Auditor Case Audit Review Checklists to the director of standards and accreditation.
- c. Within ten (10) business days, the director of standards and accreditation will send a memo concerning the audit results to the appropriate regional director with a copy to the director of field probation and parole supervision. Attachments will include the audit report and relevant documentation.
- d. Within ten (10) business days, the regional director will provide the district director all of the above communications, and if necessary, direct via return memorandum that a corrective action plan be developed to address any identified deficiencies.

A corrective action will be required if any deficiency is 10% or greater.

- e. Within ten (10) business days, the district director will prepare and submit the corrective action plan, when applicable, and forward it to the regional director. The corrective action plan will provide corrective measures for the deficiencies noted in the audit report. It is expected that these deficiencies will be corrected immediately in accordance with the action plan.
- f. Within seven (7) business days, the regional director will submit the corrective action plan packet to the director of field probation and parole supervision with a copy to the director of standards and accreditation. The corrective action plan packet includes the original audit spreadsheets and memos together with the district director's corrective action plan.
- g. The director of standards and accreditation, will maintain all original unit audit reports and corrective action plans.

## VII. SUSPENSION DURING AN EMERGENCY

This procedure may be suspended during an emergency at the sole discretion of the chairman.

## VIII. RIGHTS UNDER THIS PROCEDURE

This procedure creates no rights under law.



## IX. RELEASE OF INFORMATION AND DISTRIBUTION PROCEDURE

- A. This procedure does not contain information that impacts the security of board staff or parolees and may therefore be released to the public.
- B. This procedure is to be distributed to all board staff.

## X. CROSS REFERENCES

### A. Statutes

#### 1. Federal

None.

#### 2. State

- a. 61 Pa.C.S. § 6112 (a)(1) & (a)(4).

### B. Board Policies

4.01.03

4.01.04

4.01.05

4.01.06

### C. American Correctional Association Standards

#### 1. 4-APPFS-3A-27

#### 2. 4-APPFS-3D-09

### D. Management Directives

None.

### E. Report of the Reentry Policy Council

None.